



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
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WASHINGTON DC 20350-1000

SECNAVINST 5230.15  
DON CIO  
10 April 2009

SECNAV INSTRUCTION 5230.15

From: Secretary of the Navy

Subj: INFORMATION MANAGEMENT/INFORMATION TECHNOLOGY POLICY  
FOR FIELDING OF COMMERCIAL OFF THE SHELF SOFTWARE

Ref: (a) DON CIO memo, Department of the Navy Open Source  
Software Guidance, of 05 June 07  
(b) Subtitle III of title 40, United States Code  
[formerly the Clinger-Cohen Act]  
(c) SECNAVINST 5430.7P  
(d) DON CIO WASHINGTON DC 041537Z Aug 08, Achieving Cost  
Savings and Management Efficiencies by Purchasing  
Commercially Available Software  
(e) SECNAV M-5210.1

1. Purpose. This instruction provides policy on the fielding and vendor support of Commercial Off The Shelf (COTS) software.
2. Rationale. Unsupported COTS software poses unacceptable operational and security vulnerability risks to the Information Technology (IT) assets of the Department of the Navy (DON).
3. Scope. The provisions of this instruction are applicable throughout the Department of the Navy.
4. Policy. It is the policy of the Department of the Navy that all COTS software in use across the Department shall be vendor supported.
  - a. The level of vendor support required shall be such that identified operational problems and security vulnerabilities are rapidly mitigated by vendor provided patches;
  - b. If the particular COTS software is no longer under vendor standard support and has entered into an extended support phase, the program and/or command which desires continued use of the software must make the necessary arrangements for support,

including funding, so that the Department of the Navy is adequately covered by the vendor's extended support agreement. Prior to entering into such an agreement, justification must be submitted and approved by the DON Chief Information Officer (CIO) via the appropriate DON Deputy CIO (Navy or Marine Corps); and

c. If the particular COTS software is no longer under any type of support from the original vendor (standard or extended) and the product has reached commercial "end of life," the program and/or command that requires continued use of the software must request and receive a waiver to this policy, in accordance with paragraph 9 below. The waiver request shall include details of the funding and management processes to be used to execute the support plan for maintaining the particular COTS software product. Beyond "end of life" COTS software, support can be acquired from within the Department of the Navy or from a third party provider, but in either case a waiver must be granted by the appropriate DON Deputy CIO (Navy or Marine Corps).

## 5. Applicability

a. For the purposes of this policy, COTS software is defined as applications and tools that are ready-made by commercial vendors and are available for sale, lease, or license to the general public, as well as to the Federal Government. COTS software includes desktop and server tools, applications, operating systems, and back office software that is employed in support of DON systems;

b. This policy is applicable to all COTS software, whether used as a standalone product, acquired and/or used as a result of a services contract, or as a component of a larger IT system, such as a major automated information system acquisition program or a National Security System (NSS). All IT/NSS which make use of COTS software shall fully comply with this policy and shall ensure continued support of this software as part of their lifecycle management planning process; and

c. This policy is applicable to all Open Source Software (OSS) applications and tools licensed to the general public as well as to the Federal Government. OSS shall be treated as COTS

in accordance with reference (a). If the particular OSS application is not acquired under commercial vendor support, then the program and/or command who requires continued use of the OSS application must request and receive a waiver to this policy, in accordance with paragraph 9 below. The waiver request shall include details of the funding and management processes to be used to execute the support plan for maintaining the particular OSS application. OSS support can be acquired from within the Department of the Navy or from a third party provider, but in either case a waiver must be granted by the appropriate DON Deputy CIO (Navy or Marine Corps).

6. Enterprise Architecture (EA). In accordance with references (c) and (d), the DON CIO is responsible for developing and maintaining the DON EA. The above stated policy shall be incorporated into the DON CIO managed DON EA. All applicable implementation architectures shall align to and support the above stated policy, as documented in the DON EA.

7. Actions. Within 180 days of the date of this instruction, DON Deputy CIO (Navy) and DON Deputy CIO (Marine Corps) shall jointly develop a proposed plan for implementation of this policy within their Services.

a. The implementation plan shall include the use of the DON Application and Database Management System (DADMS) and the DON variant of the Department of Defense (DoD) IT Portfolio Repository (DITPR-DON) as the mechanism for tracking waiver requests, approvals, and rejections; and

b. The proposed implementation plan shall be submitted to DON CIO for approval.

8. Execution

a. Programs, initiatives, services contracts and proposed investments shall be reviewed to ensure compliance with the above stated policy and approved implementation plans;

b. Existing fielded COTS software applications shall immediately comply with this policy to the maximum extent possible, by acquiring support agreements as described in subparagraphs 4b and 4c. Otherwise, the program and/or command

shall submit a waiver request to DON Deputy CIO (Navy or Marine Corps), as appropriate. As set forth in paragraph 9, waivers for all currently fielded COTS software shall be requested and adjudicated no later than 12 months from the date of this instruction;

c. If new COTS software applications or related support services have to be purchased in order to comply with this policy, then in accordance with reference (d), if Enterprise software license agreements exist under a DoD Enterprise Software Initiative (ESI) for the required software or related services, then the COTS software and/or related support services shall be purchased through ESI;

d. Program objective memorandum submissions and budget execution plans should be adjusted accordingly, in order to support the intent of this policy; and

e. Implementation shall also be reviewed in preparation for Joint Capabilities Integration and Development System (JCIDS) and acquisition milestone and gate reviews of IT/NSS systems, which are dependant on use of COTS software components.

#### 9. Waivers

a. Waiver requests to this policy shall be submitted to the applicable DON Deputy CIO (Navy or Marine Corps), in accordance with the approved implementation plan developed under paragraph 7. Waivers for Joint programs and systems that have COTS software components will only be approved by the DON CIO;

b. DON Deputy CIO (Navy and Marine Corps) shall ensure that up to date reporting on waiver requests, approvals, and rejections is available in DADMS/DITPR-DON for review by DON CIO. This reporting shall include identification of the rationale used to make waiver determinations;

c. COTS software currently in use across the Department of the Navy, which is not compliant with the above stated policy, shall have 12 months from the date of this instruction to become compliant or submit and receive a waiver. Otherwise, this software must be uninstalled.

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10. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed in accordance with reference (e).



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